Page 1 of 15

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EXAMINER INITIAL		DOC!	UMENT BER	DATE	NAME	CI	LASS	SUB- CLASS	FILING DATE
	AA1	3,5	73,747	04/1971	Adams et al.	34	40	172.5	
	AB1	4,3	16,442	08/1982	Musmanno	3(64	408	
	AC1	4,3	76,978	03/1983	Musmanno	3(64	408	
	AD1	4,6	74,044	06/1987	Kalmus	30	64	408	
	AE1	4,7	22,055	01/1988	Roberts	3(64	408	
	AF1	4,7	39,478	04/1988	Roberts et al.	3 (64	408	
	AG1	4,7	51,640	06/1988	Lucas et al.	3+	64	408	
	AH1	†	66,539	08/1988	Fox .	3:	64	401	
	AI1		23,264	04/1989	Deming	3(64	408	
	AJ1	1	31,526	05/1989	Luchs et al.		64	401	
	AK1	 	39,804	06/1989	Roberts et al.		64	408	
	11111	1,,0	33,001		N PATENT DOCUMENT	I		,	1
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EXAMINER INITIAL DOCUMENT DATE COUNTRY CLASS SUB- NUMBER CLASS									TRANSLATION
	AL1	0 5	12 702 A2	11/11/1992	EP .	G	06F	15/21	Yes No
	AM1	WO	93/15467	08/05/1993	WIPO	G	06F	15/24	Yes No
	AN1	WO	94/20912	09/15/1994	WIPO	G	06F	15/30	Yes No
	A01	0 4	07 026 A2	01/09/1991	EP	G	06F	15/24	Yes No
	AP1	1 4	89 573	10/19/1977	GB	G	06F	15/20	Yes No
			OTHER (Inc)	luding Author,	Title, Date, Per	tinent Pages,	etc.)		
	AR	<u>1</u>			Chalked Up by Card, October 22,		etting (on the Fir	nancial
	AS	<u>1</u>	Losses The	ey Have Incurr	rs and Dealers a ed by Gambling o dard, October 30	n Future Movem	nents in		
	"Christopher Hales, the Managing Director of City Index, the Organisation that Allows Punters to Bet on the FTSE Index, Has Not Yet Been Offered a Porsche " Evening Standard, November 2, 1987, p. 50.								
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<u> </u>	AA2	4,90	3,201	02/1990	Wagner	364	408	
	AB2	4,93	33,842	06/1990	Durbin et al.	364	408	
	AC2	4,95	3,085	08/1990	Atkins	364	408	
	AD2	4,97	75,840	12/1990	DeTore et al.	364	401	
	AE2	4,98	30,826	12/1990	Wagner	364	408	
	AF2	5,07	77,665	12/1991	Silverman et al.	364	408	
	AG2	5,10	1,353	03/1992	Lupien et al.	364	408	
	AH2	5,12	26,936	01/1992	Champion et al.	364	408	
	AI2	5,13	36,501	08/1992	Silverman et al.	364	408	
	AJ2	5,97	70,479	10/1999	Shepherd	705	37	
	AK2	6,13	34,536	10/2000	Shepherd	705	37	
-				FOREIG	N PATENT DOCUMENTS			
EXAMINER								
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	AL2	0 43	34 224 A2	06/26/1991	EP	G06F	15/21	Yes No
	AM2	WO S	91/14231	09/19/1991	WIPO	G06F	15/21	Yes No
	AN2	2 18	A 08E 0	03/25/1987	GB	G06F	15/21	Yes No
	A02	WO S	90/11571	10/04/1990	WIPO	G06F	15/21	Yes No
<u>.</u>	AP2	WO S	96/18160	06/13/1996	WIPO	G06F	17/60	Yes No
			OTHER (Inc.	luding Author,	Title, Date, Pertinent Pag	es, etc.)		
	AR	<u>2</u>	Anyone Who	o is Entirely to this Propen	al Investment is Intolerabl Exempt from the Gambling Ir sity the Appropriate Toll,	ıstinct, V	While He Wh	no Has it
	AS	<u>2</u>	"UK: Law in Recent	Prohibiting S Legislation,"	tock Market Betting Agencie The Times, July 24, 1990.	es from Si	ling Client	s Overturned
	AT	2			ers Owing Money on Bets on , 1990, p. 61.	Stock Max	rket Have t	co Pay Up,"
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	AA3	6,1	57,918	12/2000	Shepherd	70	5	37	
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	AL3	0 4	48 800 A1	10/02/1991	EP	GO	6F	15/21	Yes No
	AM3	WO	94/28496	12/08/1994	WIPO	GO	6F	15/21, 15/30	Yes No
		1				+	· · · · · ·	13/30	Yes
	AN3	+							No Yes
	A03	-				-			No Yes
	AP3				·				No
	T	T	OTHER (Inc.	luding Author,	Title, Date, Pertinent P	ages,	etc.)		
	AR	<u>3</u>		ependent Law R 1990, p. 13.	eport - Stock Market Move	ment 1	Bet Cla	aimed," <i>Ir</i>	ndependent
	AS	3	"UK: City 3, 1990,]		sfully Sues Spencer Lesli	e for	£35,0	00," Eurov	veek August
	ТА	3	"UK: Time	es Law Report	- Differences Contract is	Enfo	rceable	e," The Ti	imes, October
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	AM4	-						No Yes
	AN4							No Yes
	A04							No
	AP4							Yes No
			OTHER (Inc.	luding Author,	Title, Date, Pertinent Pag	ges, etc	.)	
	AR	<u>4</u>	"UK: Cur Unlike Bu 132.	rent Law - Cit siness Contrac	y Index Ltd. v. Leslie; Ga tts," <i>Chartered Surveyor La</i>	ming Cor w Report	ntracts are l	Jnenforceable 3, 1990, p.
	AS	<u>4</u>	"UK: Cou Financial	rt of Appeal R Time Limited,	Rejects Market Gambler Case March 15, 1991, p. 7.	," Finar	ncial Times,	The
	AT	4		sonal Finance 1993, p. 35.	(Savings Snips) - City Sav	er - Cit	cy Index Lin	k," Observer,
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	AN5			-					Yes
	A05	 		-					No Yes
	AP5	<u> </u>							No
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	AR	<u>5</u>	"UK: Spr	ead Your Bets	for Dodgy Deregulation	," Ever	ning St	andard, Ap	oril 7, 1995.
	AS	<u>5</u>	"UK: How Story," T	to Make a Wir he Times, Apri	nning Spread Bet This S il 8, 1995.	ummer -	The Ne	w Gambling	g - Cover
	AT	<u>5</u>	"UK: Fam Sunday Te	ily Finance - legraph Limite	Do You Fancy a Financi ed, London, April 9, 19	al Flutt 195, p. 9	er?" <i>S</i>	unday Tele	egraph, The
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	AM6				·				Yes No
	AN6								Yes No
	A06				·				Yes No
	AP6								Yes No
	REG		OTHER (Inc	luding Author	, Title, Date, Pertinent	t Pages.	etc.)		
	AR	<u>6</u>			re Bookie Meets Broker,"		- "	day, May	1995, p. 76.
	AS	<u>6</u>	Jonathan the Ivory	Davis, "UK: , Coast Short	Your Money - Spread Bet " <i>Independent</i> , May 27,	ting - F 1995, p.	Risk an 21.	d Reward	in Selling
	AT	<u>6</u>	"UK: Reg - Meal, G	gister - Meal June 14, 1995	Quarterly Summary - Jun	e 1995 -	- City	Index Ltd	l.," Register
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AL7	Yes No
AM7	Yes No
AN7	Yes No
A07	Yes No
AP7	Yes No
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)	
Olima (lineadaring internet) trade, trade traject,	
AR 7 "UK: Scrum on Down for New Way of Betting," Mail on Sunday, June	18, 1995.
Lucy Roberts, "UK: City Diary - City Index Weather Forecasts," In 23, 1995, p. 26.	ndependent, June
AT 7 "UK: Christmas Day Snow Index Launched," Evening Standard, Decemb	per 8, 1995.
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	AL8				·			Yes No
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	AO8							Yes No
	AP8							Yes No
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	AR	<u>8</u>	Joe Sauma	rez Smith. "Au	stralia: City - Bookie's Sunday Telegraph Limited,	Move to Hi	it Betting cember 24,	g Duty," 1995, p. 2.
	AS	<u>8</u>	"UK: Cit London, M	y Diary - Spre arch 21, 1996,	eading the Word," <i>Daily Te</i> p. 21.	legraph, Th	ne Telegra	aph plc,
	AT	8	"UK: Cit plc, Lond	y Diary - Inde on, July 16, 1	ex Link a Fairly Safe Bet, 1996, p. 25.	" Daily Te.	legraph, 1	The Telegraph
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	AN9								No Yes
	A09	<u> </u>		1					No Yes
	AP9								No
			OTHER (Inc.	luding Author,	Title, Date, Pertinent	Pages,	etc.)		
	AR	<u>9</u>	"UK: IG	Index Comments	s on Rivals Merger Plans	s," Even	ing Sta	andard, Ju	ıly 17, 1996.
	AS	9	"UK: Cit 14, 1996,		ners," Financial Times,	Financ	ial Tir	nes Limite	ed, October
	AT	9	"UK: Reu	ters Launches	Two UK Stock Indices,"	Reuters	Limit	ed, Novemb	oer 8, 1996.
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Page 10 of 15 ATTY. DOCKET NO. APPLICATION NO. To be assigned 1033.0180002 FORM PTO-1449 APPLICANT Ian K. Shepherd INFORMATION DISCLOSURE STATEMENT FILING DATE GROUP Herewith To be assigned PATENT DOCUMENTS v.s. EXAMINER DOCUMENT DATE CLASS INITIAL NAME SUB-FILING DATE NUMBER CLASS AA10 AB10 AC10 AD10 AE10 AF10 AG10 AH10 AI10 AJ10 AK10 FOREIGN PATENT DOCUMENTS EXAMINER INITIAL DOCUMENT DATE COUNTRY CLASS SUB-TRANSLATION NUMBER CLASS Yes AL10 No Yes AM10 No Yes AN10 No Yes A010 No Yes AP10 No OTHER (Including Author, Title, Date, Pertinent Pages, etc.) Paul Stokes, "UK: New Index Sparks a Worldwide Market for Scotland," Scotsman, AR 10 November 9, 1996, p. 21. "UK: City Diary - Bookmaker Chief Appointed," Daily Telegraph, Telegraph Group Limited, London, March 24, 1997, p. 26. AS 10 "UK: Family Finance - Bond Pep From Age Concern - Savings Scene," Sunday AΤ 10 Telegraph, Telegraph Group Limited, London, September 14, 1997, p. 10. EXAMINER DATE CONSIDERED **EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next

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Page 11 of 15 ATTY. DOCKET NO. APPLICATION NO. 1033.0180002 To be assigned FORM PTO-1449 APPLICANT Ian K. Shepherd INFORMATION DISCLOSURE STATEMENT FILING DATE GROUP To be assigned Herewith υ.s. PATENT DOCUMENTS EXAMINER FILING DATE INITIAL DOCUMENT DATE NAME CLASS SUB-CLASS NUMBER AA11 AB11 AC11 AD11 AE11 AF11 AG11 AH11 AI11 AJ11 AK11 FOREIGN PATENT DOCUMENTS EXAMINER DOCUMENT DATE COUNTRY CLASS SUB-TRANSLATION INITIAL NUMBER CLASS Yes AL11 No Yes AM11 No Yes AN11 No Yes A011 No Yes AP11 No OTHER (Including Author, Title, Date, Pertinent Pages, etc.) Raymond Snoddy, "UK: Mirror to Launch Online Betting Service with PA - The AR Mirror Group - PA News," The Times, Times Newspaper Ltd, September 19, 1997, p. 11 25. "The DTB - West Germany's New Options and Futures Exchange. (2 of 2)," Business AS 11 Briefing published in Institutional Investor, August 31, 1989. Richard Murphy, "Soffex Well-Established After First Six Months," Business AΤ 11 Briefing published by Reuters News Service, Zurich, November 16, 1988. EXAMINER DATE CONSIDERED EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw

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Page 12 of 15 ATTY, DOCKET NO. APPLICATION NO. 1033.0180002 To be assigned FORM PTO-1449 APPLICANT Ian K. Shepherd INFORMATION DISCLOSURE STATEMENT FILING DATE GROUP Herewith To be assigned U.S. PATENT DOCUMENTS EXAMINER INITIAL DOCUMENT DATE NAME CLASS SUB-FILING DATE NUMBER CLASS AΑ AΒ AC AD ΑE AF AΗ ΑI ΑJ AK FOREIGN PATENT DOCUMENTS EXAMINER INITIAL DOCUMENT DATE COUNTRY CLASS SUB-TRANSLATION NUMBER CLASS Yes ALYes ΔM No Yes AN No Yes ΑO No Yes ΑP No OTHER (Including Author, Title, Date, Pertinent Pages, etc.) "A New Futures and Options Exchange to Come into Effect in 1990. (2 of 3)," AR <u>12</u> Business Briefing published in Euromoney Supplements, November 17, 1989. "A New Futures and Options Exchange to Come into Effect in 1990. (3 of 3)," AS 12 Business Briefing published in Euromoney Supplements, November 17, 1989, p. 14. "The Success of Soffex - The World's First Fully Automated Exchange," Business ΑT <u>12</u> Briefing, November 17, 1989. EXAMINER DATE CONSIDERED EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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Page 15 of 15 ATTY. DOCKET NO. APPLICATION NO. 1033.0180002 To be assigned FORM PTO-1449 APPLICANT Ian K. Shepherd INFORMATION DISCLOSURE STATEMENT FILING DATE GROUP Herewith To be assigned U.S. PATENT DOCUMENTS EXAMINER INITIAL DOCUMENT DATE NAME CLASS SUB-FILING DATE NUMBER CLASS AA AB AC ΑD ΑE AF AG AΗ ΑI AJ ΑK FOREIGN PATENT DOCUMENTS EXAMINER INITIAL DOCUMENT DATE COUNTRY CLASS SUB-TRANSLATION NUMBER CLASS Yes ALNo Yes AM No Yes AN No Yes ΑO No Yes ΑP No OTHER (Including Author, Title, Date, Pertinent Pages, etc.) Donald R. Lessard: "Finance and Global Competition: Exploiting Financial Scope and Coping with Volatile Exchange Rates" - journal article reprinted in "The AR <u>15</u> Revolution in Corporate Finance" edited by Joel M. Stern & Donald H. Chew, Jr., Blackwell Finance, 1992. Alan C. Shapiro and Sheridan Titman: "An Integrated Approach to Corporate Risk Management" - journal article reprinted in "The Revolution in Corporate Finance" AS <u>15</u> edited by Joel M. Stern & Donald H. Chew, Jr., Blackwell Finance, 1992. AΤ <u>15</u> EXAMINER DATE CONSIDERED **EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.